

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

APPLICANT(S): Paul Turquand Keyser
Michael Peter Perrone
Eugene H. Ratzlaff
Jayashree Subrahmonia

TITLE: Methods and Apparatus for
Automatic Page Break Detection

**ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231**

SIR:

Enclosed are the following papers relating to the above-named application for patent:

Application - 19 pages of Specification, 6 pages of Claims and 1 page of Abstract
11 Sheets of informal drawing(s)
Declaration and Power of Attorney
Assignment and Recordation Form Cover Sheet
Check in the amount of \$820.00 to cover the filing fee and Assignment recordation fee

CLAIMS AS FILED				
	NO. FILED	NO. EXTRA	RATE	CALCULATIONS
Total Claims	25-20 =	5	x \$18 =	\$90
Independent Claims	3-3 =	0	x \$78 =	\$0
Multiple Dependent Claim(s), if applicable			\$260 =	\$0
Basic Fee				\$690
TOTAL FEE:				\$780

Please file the application and please find enclosed a check in the amount of \$820 (which includes \$780 to cover the filing fee and \$40 to cover the Assignment recordation fee). In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **Ryan & Mason, L.L.P. Deposit Account No. 50-0762** as required to correct the error. Duplicate copies of this letter are enclosed.

Please address all correspondence to: **William E. Lewis, Ryan & Mason, L.L.P., 90 Forest Avenue, Locust Valley, New York 11560**. Telephone calls should be made to the under-signed attorney at (516) 759-2946.

Respectfully,

William E. Lewis

William E. Lewis
Reg. No. 39,274
Attorney for Applicant(s)

Date: July 25, 2000
Ryan & Mason, L.L.P.
90 Forest Avenue
Locust Valley, New York 11560

"Express Mail" Label No. EK98229108545
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: July 25, 2000

Signature: *Judith E. Keyser*

jc784 U.S. PTO
09/624963
07/25/00

METHODS AND APPARATUS FOR AUTOMATIC PAGE BREAK DETECTION

The present application claims priority to the U.S. provisional patent application identified by Serial No. 60/196,808 filed on April 13, 2000, the disclosure of which is incorporated by reference herein.

Field of the Invention

The present invention relates generally to personal digital notepads and the like and, more particularly, to methods and apparatus for providing automatic page break detection in accordance with such personal digital notepads and the like.

Background of the Invention

A personal digital notepad (PDN) is a digitizer-and-pen device that allows a writer to record handwritten information on a standard paper notepad, and simultaneously record an electronic carbon copy of the writing in electronic form. The CrossPad marketed by the A.T. Cross Company is an example of such a device as is the IBM ThinkScribe. For such a device to be useful, the electronic ink on the electronic page must mirror the physical ink on the paper page. In order to maintain this accurate correspondence between the physical page and the electronic copy, the writer is required to "turn" the electronic page when changing to a new or previous paper page by pressing the corresponding page-forward or page-backward button on the PDN. These buttons effect synchrony between the physical and electronic page by recording these events in the data stream. Asynchrony between the paper and electronic pages occurs when a writer forgets to press the appropriate button on the device or accidentally presses the button too many times. Subsequent writing is then electronically recorded on the wrong electronic page, and the new electronic ink is recorded on top of the page's original electronic ink. This problem may be compounded since the user may flip forward or backward by several pages at a time and may do so several times within a single

document. Later, when the resultant electronic page is viewed, the merged original and overwritten electronic ink can be confusing and may be difficult to read and correct.

Ink data collected by a PDN is recorded as a sequence of triplets (X, Y, T) corresponding to the horizontal position, the vertical position, and the timestamp, respectively, of the pen tip on the page. These triplets may be sent to a personal computer (PC) in real-time or stored on the PDN and uploaded at the writer's convenience. Thus, manipulations of this data may be performed in real-time, possibly with writer-intervention, or they may be performed at any later time as a post-processing step. In addition to the triplets, the PDN may also include other information, called events, in its data stream, such as the location of the pen (on/off the paper) and whether the writer has activated any special purpose buttons on the device. For the purposes of the present invention, we need only concern ourselves with the triplets, page forward/backward events and document description information.

Summary of the Invention

The present invention eliminates, or at least substantially reduces, the problem described above by providing an automated method for assigning electronic ink to electronic pages such that the correspondence between the electronic ink and the electronic pages matches the correspondence between the physical ink and the physical page, as closely as possible. The methodologies may use the location and/or time information associated with the handwritten data to detect the number and location of page breaks in handwritten data. Other criteria may be used to perform such detection, e.g., constrained regions, field alignment, degree of ink overlap, neural networks, etc. The method may apply to accidentally omitted page change events and, in certain cases, to accidentally added page change events. However, other applications of the methodologies of the invention may be realized by those of ordinary skill in the art.

Typically, writers fill out a page from top to bottom; when they finish a page and start writing on the next page, the vertical position of their ink makes a large jump from

the bottom of a page to the top. Thus, for typical writing, detecting this abrupt change in position should be sufficient to detect page breaks; however, this picture is rendered more complex in at least three ways. First, writers may make corrections as they write, leading to possibly large jumps in the vertical position of their ink, which do not correspond to page breaks. Second, writers are not constrained to begin new pages at the top of the page and therefore may start a new page by writing at the bottom of the page (e.g., a page number). Third, writers are not constrained to write in a top-down fashion (e.g., a writer fills the top third of a page, leaves a blank area in the middle of the page, writes in the bottom third, and then fills in the medial blank space, after which they also fail to signal a page forward/backward event).

To overcome, or at least reduce, problems associated with such user actions, in one broad aspect of the invention, a method of processing an electronic document generated in accordance with a handwriting system comprises the steps of: obtaining electronic ink data from the handwriting system, the ink data being associated with the electronic document; and automatically identifying, using at least a portion of the electronic ink data, one or more potential page breaks for possible insertion in the electronic document to maintain a page correspondence between the electronic document and a physical document also generated in accordance with the handwriting system.

In a more specific aspect of the present invention, page breaks may be identified in the following manner. A set of ink data and a document description are processed by a variety of scoring methods, each of which generates a score for each possible insertion point in the ink. These scores are combined to produce a ranked list of hypothesized page breaks for the corresponding ink data. This ranked list is then used either to insert page breaks automatically using a predefined threshold to determine a cut-off in the list; or to present, on-line, to a human for verification/approval; or a mixture of the two based on two thresholds: one for automatic insertion and the other for human verification. It is to be understood not all scoring methods need be used, that is, one or more of the scoring methods may be used as needed.

Note, the methods described in accordance with the present invention do not assume any particular spatial/temporal resolution of position/timestamp value and, in particular, they work without regard for whether there are or are not duplicated (X, Y, T) values in the data. However, some of the methods described herein may not optimally work without the timestamp information (e.g., if the ink data were converted to a raster format.)

In the following descriptions, we assume that a writer from a culture that normally writes a page from top to bottom has written the ink; however, it is to be understood that this assumption is for ease of description only. The methods described herein can be trivially modified to handle writing that progresses from right-to-left or bottom-to-top, etc.

These and other objects, features and advantages of the present invention will become apparent from the following detailed description of illustrative embodiments thereof, which is to be read in connection with the accompanying drawings.

Brief Description of the Drawings

FIG. 1 is a block diagram illustrating a system in which the automatic page break detection methodologies of the present invention may be employed;

FIG. 2 is a flow diagram illustrating an overview of insertion point list generation according to one embodiment of the present invention;

FIG. 3 is a flow diagram illustrating a spatial delta scoring method according to one embodiment of the present invention;

FIG. 4 is a flow diagram illustrating a temporal delta scoring method according to one embodiment of the present invention;

FIG. 5 is a flow diagram illustrating a constrained region scoring method according to one embodiment of the present invention;

FIG. 6 is a flow diagram illustrating a field alignment scoring method according to one embodiment of the present invention;

FIG. 7 is a flow diagram illustrating a ink overlap scoring method according to one embodiment of the present invention;

FIGs. 8A through 8C are graphical representations generally illustrating a position/timestamp scoring methodology according to the present invention;

5 FIGs. 9A through 9C are diagrams illustrating a filtered position scoring method according to one embodiment of the present invention;

FIGs. 10A and 10B are diagrams illustrating an unfiltered position scoring method according to one embodiment of the present invention;

10 FIGs. 11A through 11C are diagrams illustrating a filtered timestamp scoring method according to one embodiment of the present invention;

FIGs. 12A and 12B are diagrams illustrating an unfiltered timestamp scoring method according to one embodiment of the present invention;

FIG. 13 is a flow diagram illustrating a neural network scoring method according to one embodiment of the present invention; and

15 FIG. 14 is a flow diagram illustrating a combination scoring method according to one embodiment of the present invention.

Detailed Description of Preferred Embodiments

20 The present invention will be explained below in the context of an illustrative personal digital notepad architecture. However, it is to be understood that the present invention is not limited to any particular handwriting system architecture. Rather, the invention is more generally applicable to any handwriting system architecture in which it is desirable for the system to automatically maintain an accurate correspondence between a physical page and an electronic page.

25 Before presenting respective explanations of illustrative embodiments associated with the present invention, some definitions that may be used during the course of such explanations will first be provided below.

(i) Ink Point: Numerical triplet (X, Y, T) respectively indicating the x and y spatial coordinates of some ink on a paper page and the time, t, when it was written.

(ii) Pen-down: The first ink point recorded after the pen is placed on a page.

(iii) Pen-up: The last ink point recorded before the pen is lifted up from a page.

5 (iv) Stroke: The actual ink written on a page or the electronic representation of the ink written on a page between a pen-down and a pen-up.

(v) Arc Length: The sum of the distances between consecutive points of a (set of) strokes.

10 (vi) Timestamp: Time when a stroke or ink point was written. Note that for a stroke, the time stamp may be any or all of the times between and including the time of the pen-down and pen-up.

15 (vii) Delayed Stroke: Stroke which is spatially close to a group of other strokes to which it belongs; but which is separated in time from the group. Other strokes may intervene temporally between the delayed stroke and the group of strokes to which it corresponds. For example, if the word "Mississippi" is written in cursive style, the i-dots may all be delayed strokes. Similarly, a person may forget to cross a "t" in a word; write additional unrelated ink strokes; notice the missing t-cross; and go back and insert it.

(viii) Insertion Point: Position in a time-ordered list of strokes between any two consecutive strokes in the list.

20 (ix) Page Change Event: A marker used to indicate either an increase or decrease in the page number assigned to subsequent ink strokes. For example, strokes may be written on pages 1, 2 and 3. After these strokes are written, new strokes may be written on page 1 and then the writer may jump to page 4, etc. So the page numbering of the strokes ordered by their timestamp is: "111...1 222...2 333...3 111...1 444...4". If we
25 indicate a generic stroke by "S" and an increasing/decreasing page change event by "+"/"-", then the page change events for this sequence of strokes would be: "SSS...S + SSS...S - - SSS...S + + + SSS...S".

(x) Page break: The insertion point corresponding to when the writer actually moved from one physical page to another; page change events are desired for each page break.

(xi) Ink Document: A time-ordered list of strokes with page change events at zero or more of the insertion points.

5 (xii) Field: Predefined region on a written page.

(xiii) Document Description: Information about the location of fields, if any, on a page (e.g., a medical insurance form). May also include the (max/min) number of expected pages in a document.

10 (xiv) Vertical/Horizontal Position: Vertical position is the distance from the top of the page (increasing down the page). Horizontal position is the distance from the left side of the page (increasing to the right). These origins and sign conventions are so defined for specificity, and these definitions are not to be considered as limitations of the present invention. Both vertical and horizontal position are determined for a given stroke from the corresponding position of, for example, but not limited to, (a) the first point, or (b) the upper-left corner of the smallest rectangle enclosing all the points, or (c) the mean
15 vertical position of all the points of the stroke (which mean may be determined by any of a variety of methods).

Referring initially to FIG. 1, a block diagram is shown illustrating an overview of a system in which the automatic page break detection methodologies of the present invention may be employed. As shown, the system may comprise a personal digital notepad (PDN) 10 which includes a digitizer 12 and a pen device 14. As mentioned, the PDN may, for example, be an IBM ThinkScribe or an A.T. Cross Company CrossPad. It is to be understood that while the pen 14 and digitizer 12 are shown as being connected via a cable, this is only an illustrative connection mechanism. That is, other connection
20 mechanisms may be employed, e.g., a radio transmitter/receiver pair, etc. The invention is not limited to any particular connection mechanism. As is known, the physical paper for capturing the physical ink from the pen device is positioned over the digitizing surface of the digitizer which captures the so-called electronic ink or the electronic representation
25

of the physical ink marks made on the physical paper by the pen device. As mentioned, ink data collected by a PDN is recorded as a sequence of triplets (X, Y, T) corresponding to the horizontal position, the vertical position, and the timestamp, respectively, of the pen tip on the page.

5 These triplets may be sent to a personal computer (PC) 20, along with other data such as document description information, as shown in FIG. 1. The PDN 10 and PC 20 may be connected via any suitable conventional communication link. The PC 20 may include a processor 22, memory 24, and I/O devices such as, for example, display 24. Also, as is known but not illustrated, the PDN has its own processor, memory and I/O
10 devices for implementing operations described herein. The ink data and other data may be processed by the PC in real-time or stored on the PDN and uploaded at the writer's convenience. Thus, manipulations of this data may be performed in real-time, possibly with writer-intervention (as depicted by blocks 28 and 30 in FIG. 1). Specifically, in this scenario, the PC processes the data from the PDN as the user is writing and then signals
15 the user, e.g., via an audible beep, a flashing display, etc., when it is determined that a page change might be missing, thereby allowing the user to accept or reject a suggested page change event through a user interface on the PDN, e.g., depressing a button, writing a stroke on the screen, etc. Alternatively, manipulations of the data from the PDN may be performed at any later time as a post-processing step (as depicted by block 32 in FIG.
20 1). The display 26 may be used to view and/or edit the data associated with the handwriting. This may include automatically or manually adding/deleting/modifying page change events, e.g., separating data associated with one page into two or more pages. As mentioned, in addition to the triplets, the PDN may also include other information, called events, in its data stream, such as, for example, the location of the pen
25 (on/off the paper) and whether the writer has activated any special purpose buttons on the device. As mentioned, for the purposes of the present invention, we need only concern ourselves with the triplets, page forward/backward events and document description information.

It is to be appreciated that the term "processor" as used herein is intended to include any processing device, such as, for example, one that includes a CPU (central processing unit) and/or other processing circuitry. The term "memory" as used herein is intended to include memory associated with a processor or CPU, such as, for example, RAM, ROM, a fixed memory device (e.g., hard drive), a removable memory device (e.g., diskette), flash memory, etc. In addition, the term "input/output devices" or "I/O devices" as used herein is intended to include, for example, one or more input devices, e.g., keyboard, for entering data to the processing unit, and/or one or more output devices, e.g., CRT display and/or printer, for presenting results associated with the processing unit. It is also to be understood that the term "processor" may refer to more than one processing device and that various elements associated with a processing device may be shared by other processing devices. Accordingly, software components including instructions or code for performing the methodologies of the invention, as described herein, may be stored in one or more of the associated memory devices (e.g., ROM, fixed or removable memory) and, when ready to be utilized, loaded in part or in whole (e.g., into RAM) and executed by a CPU.

It is to be appreciated that the scoring techniques and page break insertion operations of the invention used for automatically detecting and then inserting accurate page breaks, to be described below, may be performed on the personal computer 20 and/or on the PDN 10. FIG. 2 is a flow diagram of a preferred overview of a process for performing scored insertion point list generation according to an embodiment of the invention. In the preferred process 40 shown in FIG. 2, page breaks are identified in the following manner. A set of ink data 42 and a document description 44 are processed by a variety of scoring methods 46-1 through 46-N, each of which generates a list of scores (48-1 through 48-N, respectively) for each possible insertion point in the ink that is determined to be a potential page break event. A variety of illustrative insertion point scoring methods will be described below. These lists of scores are then combined via a score combination method 50, to be described below, to produce a ranked list 52 of

hypothesized page breaks for the corresponding ink data. This ranked list is then used, in step 54, either to insert page breaks automatically using a predefined threshold to determine a cut-off in the list; or to present, on-line, to a human for verification/approval; or a mixture of the two based on two thresholds: one for automatic insertion and the other for human verification.

It is to be understood that not all scoring methods described below need be used, that is, one or more of the scoring methods may be used as needed. In the case where only one scoring method is used, no combination scoring operation is required. That is, the results of the individual scoring method are used to automatically insert page breaks and/or to generate a presentation of suggested page breaks to the user for verification approval.

Further, it is to be appreciated that, in addition to the scores returned by the scoring methods described below, an additional score (or composite score comprising the additional score and the score from a particular scoring method) can be assigned to each of the hypothesized insertion points using methods well-known to those skilled in the art. For example, the additional score could correspond to an estimate of the method's confidence in the hypothesized insertion point, e.g., a probability measure. These scores can then be used to rank the hypothesized insertion points. This may be done for one or more of the scoring methods as a last step in the individual scoring process (e.g., 46-1 through 46-N in FIG. 2) or at the beginning of the combination method 50, assuming the combination method is employed (i.e., when more than one scoring method is used).

In addition, while shown in parallel in FIG. 2, it is to be understood that the scoring methods may be performed in a sequential manner, wherein a given number of scoring methods are performed until a particular level of confidence is achieved in the results.

A variety of illustrative insertion point scoring methods (e.g., 46-1 through 46-N in FIG. 2) will now be described.

A. Spatial Delta Scoring

Referring now to FIG. 3, a flow diagram illustrating a scoring method 300 referred to as “spatial delta scoring” is shown. In accordance with the method 300, ΔX and/or ΔY between each consecutive pair of strokes is measured in step 302. The Δ refers to the position difference (X or Y) between the consecutive strokes in the pair. Next, in step 304, insertion points with corresponding Δ s above a fixed threshold are labeled as potential page change events. For each potential page change event, the number of strokes (or the total arc length of the strokes) are counted, in step 306, from the current potential page change event and the subsequent potential page change event or to the end of the stroke set if there is no subsequent potential page change event. Lastly, in step 308, if the stroke count (or the total arc length) for a given potential page change event is above a fixed threshold, then return those stroke counts as scores corresponding to a potential page change insertion point. These scores correspond to one of the lists, e.g., lists 48-1 through 48-N, in FIG. 2.

B. Temporal Delta Scoring

Referring now to FIG. 4, a flow diagram illustrating a scoring method 400 referred to as “temporal delta scoring” is shown. In accordance with the method 400, for each consecutive pair of strokes, the difference in time between when each stroke was written is measured in step 402. In step 404, a potential page change event is identified between any consecutive stroke pair with a time difference above a fixed threshold. In step 406, scores are assigned to the potential page change events based on the distance to the threshold. These scores correspond to one of the lists, e.g., lists 48-1 through 48-N, in FIG. 2.

C. Constrained Region Scoring

Referring now to FIG. 5, a flow diagram illustrating a scoring method 500 referred to as “constrained region scoring” is shown. Examples of constrained regions

may be: (i) a page number box: a boxed region in, for example, the corner of a page which is used exclusively to write the page number; and (ii) a page title line: a region, for example, above a prespecified line on a page which is used exclusively to write the title or other marker of the page. It is to be understood that such constrained region information is part of the document description information provided to the scoring method. In accordance with the method 500, it is first determined which strokes fall within a predefined region of a page in step 502. Then, in step 504, a potential page change event is identified before each stroke that falls within a constrained region and which is not immediately preceded by a stroke in the same region. A confidence measure is determined as a score for each potential page break, in step 506, wherein the confidence measure corresponds to a level of confidence that the stroke falls within the constrained region. These scores correspond to one of the lists, e.g., lists 48-1 through 48-N, in FIG. 2. It is to be understood that a page could have more than one constrained region. Further, it is to be understood that various definitions of when a stroke is "in" a region may be used. For example, a stroke may be "in" a region when: (i) the stroke is entirely in the region; (ii) a majority of the stroke is in the region; (iii) a beginning and/or an end point of the stroke is in the region; (iv) the stroke has a particular average distance to a region; and (v) its preceding and/or following N neighbor strokes are in the region, where N is a fixed number of neighbors to consider; see, e.g., the U.S. patent application identified as Serial No. 09/240,147 (attorney docket no. YO998-481), filed on January 29, 1999 in the name of M.P. Perrone, and entitled: "System and Methods for Providing Robust Keyword Selection in a Personal Digital Notepad," the disclosure of which is incorporated by reference herein.

D. Field Alignment Scoring

Referring now to FIG. 6, a flow diagram illustrating a scoring method 600 referred to as "field alignment scoring" is shown. For documents that have regions in which writing is expected to occur (e.g., forms), we can use the information about where

the ink is expected/allowed to occur to decide whether a page change event is missing. It is to be understood that such field information is part of the document description information provided to the scoring method. In accordance with the method 600, for each page of ink aligned to a page of fields, in step 602, it is determined which strokes are “in” which fields. Here, “in” includes a measure of degree so that the appropriateness of one field versus another for any given stroke may be compared. In step 604, each stroke is sequentially processed to determine whether it fits the current page of fields well. Then, in step 606, for a fixed number N, if a given set of N consecutive strokes do not fit the fields of the current page well, potential page change events are identified before these strokes so that the current page number may be changed to the number of the page with the best fit to fields for these strokes. It is to be understood that any measure of fit may be employed, and it is that measure that is returned as a score. These scores correspond to one of the lists, e.g., lists 48-1 through 48-N, in FIG. 2.

E. Ink Overlap Scoring

Referring now to FIG. 7, a flow diagram illustrating a scoring method 700 referred to as “ink overlap scoring” is shown. This method is similar to the field alignment method except that instead of using predefined fields to constrain stroke placement, existing ink is used to define regions where new ink is not allowed. In accordance with the method 700, for each stroke, it is determined how much the stroke overlaps with each preceding stroke in step 702. This may be accomplished in a variety of conventional ways, for example, as is described in the above-referenced U.S. patent application identified as Serial No. 09/240,147 (attorney docket no. YO998-481). In step 704, for a suitable preselected number N, if the degree of overlap of a given set of N consecutive strokes (or arc length totaling N) with existing ink on the current page exceeds a fixed threshold, a potential page change event is identified. The degree of overlap serves as a score. These scores correspond to one of the lists, e.g., lists 48-1 through 48-N, in FIG. 2. It is to be understood that delayed strokes occur frequently and

usually overlap with existing ink; but they are usually short. Thus, for this method, the number N preferably includes more strokes and/or arc length than the criterion for field alignment.

F. Y-Position or X-Position Scoring

Before explaining details of position scoring methods (and timestamp scoring methods in the next section) of the invention, reference is made to FIGs. 8A through 8C, in which such a scoring technique associated with the y-position (and timestamps) of strokes is generally illustrated. FIG. 8A shows a graph of the y-position of strokes versus timestamp t. Section A of the graph denotes six lines of writing on page N, with some corrections denoted by the letter B. Letter C denotes a page break. Section D denotes four lines of writing on page N+1, with one correction B. As will be explained, in accordance with position scoring, the moving average of the y-values is taken, which is denoted in FIG. 8B with the page break shown as letter C. Then, a moving average of the slope of the curve in FIG. 8B is taken, which is denoted in FIG. 8C with the page break shown as letter C.

The position scoring method is described in more detail with respect to FIGs. 9A through 9C. It is to be understood that the position scoring technique for the y-position of strokes is identical to that for the x-position. Thus, the following explanation refers to the y-position explicitly, with the phrase “x-position” or “horizontal x” in parentheses to denote the similarity. Thus, in accordance with the position scoring method 900 shown in FIG. 9A, a moving average is computed of the vertical y-positions (horizontal x-position) of all strokes on the electronic page using a suitable preselected window width in step 902. The result of step 902 is illustrated in FIG. 9B, where A is a potential page break, the vertical axis is the average vertical (horizontal for x-position scoring) position and the horizontal axis is the “stroke-index” (or time-stamp for timestamp scoring). The stroke-index is defined as the index of the time-ordered strokes, i.e., stroke 1, stroke 2, stroke 3, etc. Note that if $N > M$, then stroke N was written after stroke M. It

is to be understood that selecting a window width of zero turns off the moving average. Then, in step 904, the moving average of the slope of this resulting curve is computed. The result of step 904 is illustrated in FIG. 9C. In step 906, the stroke(s) for which the smoothed average slope is less than zero is found. Then, in step 908, the mean stroke-index of the negative slope strokes is computed or the negative peaks in the curve computed by the moving average are scored as possible page change events by any of a variety of methods of scoring peak-heights familiar to those skilled in the art. These scores correspond to one of the lists, e.g., lists 48-1 through 48-N, in FIG. 2.

It is to be appreciated that FIGs. 9A through 9C illustrate a “filtered” position scoring method. Referring now to FIGs. 10A and 10B, an “unfiltered” position scoring method is shown. The concepts of “filtered” and “unfiltered” scoring are to be understood in the context of the notion of averaging. If the average is over N consecutive strokes, then “unfiltered” corresponds to N=1 (i.e., no filtering) and if one chooses a larger N, the degree of filtering increases (e.g., if N is equal to the number of strokes in the document, then the “signal” will be a flat line, that is, everything will have been filtered away).

Thus, in accordance with the unfiltered position scoring method 1000 shown in FIG. 10A, the pair-wise difference in vertical (horizontal) positions of strokes of a page are computed in step 1002. The results of this step are illustrated in FIG. 10B, with letter A denoting line breaks and letter B denoting a page break. Next, in step 1004, the stroke(s) for which the pair-wise difference in position having the greatest negative value is found. Then, in step 1006, the mean stroke-index of the negative Δy strokes is computed.

G. Timestamp Scoring

Referring now to FIGs. 11A through 11C, a filtered timestamp scoring method 1100 is shown. It is to be appreciated that filtered timestamp scoring is similar to y-position (x-position) scoring where Y (X) is replaced with T, vertical (horizontal) is

replaced with timestamp, and negative is replaced with positive. Thus, in accordance with the timestamp scoring method 1100 shown in FIG. 11A, a moving average is computed of the timestamp T of all strokes on the electronic page in step 1102. The result of step 1102 is illustrated in FIG. 11B, where letters A, C and G denote normal speed writing, B and D denote a short pause, E denotes rapid speed writing and F denotes a large pause. Then, in step 1104, the moving average of the slope of this resulting curve is computed. The result of step 1104 is illustrated in FIG. 11C, with letter H denoting a page break. Then, in step 1106, the mean stroke-index is computed for all the strokes for which the average slope is above some threshold. The positive peaks in the curve computed by the moving average are scored as possible page change events by any of a variety of methods of scoring peak-heights familiar to those skilled in the art. These scores correspond to one of the lists, e.g., lists 48-1 through 48-N, in FIG. 2.

While FIGs. 11A through 11C illustrate a filtered timestamp scoring method, FIGs. 12A and 12B illustrate an unfiltered timestamp scoring method. Thus, in accordance with the unfiltered timestamp scoring method 1200 shown in FIG. 12A, the pair-wise difference in timestamps of strokes of a page are computed in step 1202. The results of this step are illustrated in FIG. 12B, with letters A and B denoting small pauses in writing, C denoting a large pause, D denoting normal speed writing and E denoting rapid speed writing. Next, in step 1204, the stroke(s) for which the pair-wise difference in timestamp having the greatest positive value above some threshold are found. Then, in step 1206, the mean stroke-index of the large ΔT strokes are computed.

H. Neural Network Scoring

Referring now to FIG. 13, a flow diagram illustrating a scoring method 1300 referred to as "neural network scoring" is shown. In accordance with the method 1300, the method provides for use of machine learning algorithms known to those skilled in the art to learn the location of page change events in a writer's ink data. For example, one of the machine learning algorithms described in the following references may be employed:

S. Haykin, "Neural Networks: A Comprehensive Foundation," Macmillan, New York, 1994; J. Hertz, A. Krogh and R.G. Palmer, "Introduction to the Theory of Neural Computation," Addison Welsley, New York, 1991; L. Breiman, J.H. Friedman, R.A. Olshen and C.J. Stone, "Classification and Regression Trees," The Wadsworth Statistics/Probability Series, Belmont, CA, 1984; D.E. Rumelhart and J. L. McClelland (ed.), "Parallel Distributed Processing," MIT Press, Cambridge, MA, 1986; and R.O. Duda and P.E. Hart, "Pattern Classification and Scene Analysis," John Wiley, New York, 1973, the disclosures of which are incorporated by reference herein. Then, in step 1304, the resultant system is used to generate a scored list of insertion points corresponding page change events. It is to be appreciated that the neural network may use the document description information in generating the scored list.

I. Score Combination

It is to be appreciated that the score combination method to be described in this section may be employed as the score combination method 50 shown in FIG. 2. Recall, however, that if only one scoring method is employed, the score combination operation does not need to be performed. Thus, referring now to FIG. 14, the score combination method 1400 comprises obtaining two or more scoring lists associated with the previously described scoring methods (see sections A through H), in step 1402. As described above, each of the selected methods produces a list whose elements are pairs of the form: (insertion point and probability). It may happen that a given insertion point occurs multiple times in the list. This would be the case if several page break events were omitted by the writer, see, e.g., the definition of the page change event above.

In step 1404, any of a variety of methods known in the art are used to merge the multiple scoring lists. For example, but not limited to, the merging step may comprise: (i) accepting all insertion points, but pruning out duplicates; (ii) using voting to merge insertion points, which may include: "unbiased voting" where each list element gets one vote and insertion points that get more than some fixed number of votes are accepted; or

“biased voting” where the score of each list element is used as its vote and insertion points that get more than some fixed sum (or other monotonic functions) of scores are accepted; (iii) using DNFs (disjunctive normal forms) to merge lists; and (iv) using neural nets to merge the lists.

5 In step 1406, if the document description information (provided to the method 1400) includes an expected number of pages, N, (e.g., if a form is known to have 3 pages, N=3), the top scoring page events are chosen successively until the number of page change events is constrained to result in N pages. For example, if the page change events, ordered by decreasing score, are “++-+-++++-,” where “+” is paging forward and
10 “-” is paging backwards, and N=3, then “++” results in a 3 page document, as does “++-+” which correspond to the first two and first four page change events, respectively. Other ordered combinations are disallowed because, by construction (e.g., events are sorted in decreasing score order), they will have lower scores. Similarly, one may consider all possible combinations of page change events which result in the desired
15 number of pages, each of which may be sorted by the sum of the scores of the page change events included.

J. Pre-processing, Post-processing Variations

When a user realizes they have forgotten the page change event, they may be asked to label the latest ink, i.e., the ink before which the page break should be found.
20 Further, by this or other methods of augmenting the basic methods described above, the page break can be defined as being at a certain offset in stroke-index from the page break as found by the basic methods described above.

Although illustrative embodiments of the present invention have been described herein with reference to the accompanying drawings, it is to be understood that the
25 invention is not limited to those precise embodiments, and that various other changes and

modifications may be affected therein by one skilled in the art without departing from the scope or spirit of the invention.

100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141 142 143 144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179 180 181 182 183 184 185 186 187 188 189 190 191 192 193 194 195 196 197 198 199 200 201 202 203 204 205 206 207 208 209 210 211 212 213 214 215 216 217 218 219 220 221 222 223 224 225 226 227 228 229 230 231 232 233 234 235 236 237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259 260 261 262 263 264 265 266 267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283 284 285 286 287 288 289 290 291 292 293 294 295 296 297 298 299 300 301 302 303 304 305 306 307 308 309 310 311 312 313 314 315 316 317 318 319 320 321 322 323 324 325 326 327 328 329 330 331 332 333 334 335 336 337 338 339 340 341 342 343 344 345 346 347 348 349 350 351 352 353 354 355 356 357 358 359 360 361 362 363 364 365 366 367 368 369 370 371 372 373 374 375 376 377 378 379 380 381 382 383 384 385 386 387 388 389 390 391 392 393 394 395 396 397 398 399 400 401 402 403 404 405 406 407 408 409 410 411 412 413 414 415 416 417 418 419 420 421 422 423 424 425 426 427 428 429 430 431 432 433 434 435 436 437 438 439 440 441 442 443 444 445 446 447 448 449 450 451 452 453 454 455 456 457 458 459 460 461 462 463 464 465 466 467 468 469 470 471 472 473 474 475 476 477 478 479 480 481 482 483 484 485 486 487 488 489 490 491 492 493 494 495 496 497 498 499 500 501 502 503 504 505 506 507 508 509 510 511 512 513 514 515 516 517 518 519 520 521 522 523 524 525 526 527 528 529 530 531 532 533 534 535 536 537 538 539 540 541 542 543 544 545 546 547 548 549 550 551 552 553 554 555 556 557 558 559 560 561 562 563 564 565 566 567 568 569 570 571 572 573 574 575 576 577 578 579 580 581 582 583 584 585 586 587 588 589 590 591 592 593 594 595 596 597 598 599 600 601 602 603 604 605 606 607 608 609 610 611 612 613 614 615 616 617 618 619 620 621 622 623 624 625 626 627 628 629 630 631 632 633 634 635 636 637 638 639 640 641 642 643 644 645 646 647 648 649 650 651 652 653 654 655 656 657 658 659 660 661 662 663 664 665 666 667 668 669 670 671 672 673 674 675 676 677 678 679 680 681 682 683 684 685 686 687 688 689 690 691 692 693 694 695 696 697 698 699 700 701 702 703 704 705 706 707 708 709 710 711 712 713 714 715 716 717 718 719 720 721 722 723 724 725 726 727 728 729 730 731 732 733 734 735 736 737 738 739 740 741 742 743 744 745 746 747 748 749 750 751 752 753 754 755 756 757 758 759 760 761 762 763 764 765 766 767 768 769 770 771 772 773 774 775 776 777 778 779 780 781 782 783 784 785 786 787 788 789 790 791 792 793 794 795 796 797 798 799 800 801 802 803 804 805 806 807 808 809 810 811 812 813 814 815 816 817 818 819 820 821 822 823 824 825 826 827 828 829 830 831 832 833 834 835 836 837 838 839 840 841 842 843 844 845 846 847 848 849 850 851 852 853 854 855 856 857 858 859 860 861 862 863 864 865 866 867 868 869 870 871 872 873 874 875 876 877 878 879 880 881 882 883 884 885 886 887 888 889 890 891 892 893 894 895 896 897 898 899 900 901 902 903 904 905 906 907 908 909 910 911 912 913 914 915 916 917 918 919 920 921 922 923 924 925 926 927 928 929 930 931 932 933 934 935 936 937 938 939 940 941 942 943 944 945 946 947 948 949 950 951 952 953 954 955 956 957 958 959 960 961 962 963 964 965 966 967 968 969 970 971 972 973 974 975 976 977 978 979 980 981 982 983 984 985 986 987 988 989 990 991 992 993 994 995 996 997 998 999 1000

Claims

What is claimed is:

1. A computer-based method of processing an electronic document generated in accordance with a handwriting system, the method comprising the steps of:

5 obtaining electronic ink data from the handwriting system, the ink data being associated with the electronic document; and

10 automatically identifying, using at least a portion of the electronic ink data, one or more potential page breaks for possible insertion in the electronic document to maintain a page correspondence between the electronic document and a physical document also generated in accordance with the handwriting system.

2. The method of claim 1, wherein the handwriting system is a personal digital notepad.

3. The method of claim 1, further comprising the step of automatically inserting the one or more identified potential page breaks in the electronic document.

15 4. The method of claim 1, further comprising the step of presenting the one or more identified potential page breaks to a user for approval to automatically insert the one or more identified potential page breaks in the electronic document.

5. The method of claim 1, wherein the step of automatically identifying one or more potential page breaks further comprises the steps of:

20 measuring a spatial difference between consecutive pairs of strokes made in accordance with the handwriting system; and

labeling spatial differences not below a threshold value as possible insertion points.

6. The method of claim 5, further comprising the steps of:

for each spatial difference not below the threshold value, computing one of the number of strokes and the total arc length associated with strokes that occur between the current possible insertion point and one of the next page breaks in the electronic document and the end of the stroke set of the document; and

assigning one of the number of strokes and the total arc length as a score to be associated with the possible insertion point.

7. The method of claim 6, wherein the assigning step is performed when one of the number of strokes and the total arc length is not below a second threshold value.

8. The method of claim 1, wherein the step of automatically identifying one or more potential page breaks further comprises the steps of:

measuring a temporal difference between consecutive pairs of strokes made in accordance with the handwriting system; and

labeling temporal differences not below a threshold value as possible insertion points.

9. The method of claim 8, further comprising the step of, for each temporal difference not below the threshold value, assigning a score to the corresponding possible insertion point based on a distance from the temporal difference to the threshold value.

10. The method of claim 1, wherein the step of automatically identifying one or more potential page breaks further comprises the step of identifying as a possible insertion point a point before a stroke, made in accordance with the handwriting system, wherein the stroke falls within a constrained region on a page associated with the document and wherein the stroke is not immediately preceded by another stroke in the same constrained region.

11. The method of claim 1, further comprising the step of determining a confidence measure for the potential page break associated with the possible insertion point.

12. The method of claim 1, wherein, in an electronic document that corresponds to a form with fields, the step of automatically identifying one or more potential page breaks further comprises the steps of:

computing a measure of field appropriateness for each stroke made in accordance with the handwriting system to indicate how well a stroke fits within a particular field; and

for N consecutive strokes which do not fit the field of a particular page of the document, identifying a potential page break before these N consecutive strokes.

13. The method of claim 12, wherein the potential page break indicates the page number of the page having a field with which the N consecutive strokes appropriately fit.

14. The method of claim 1, wherein the step of automatically identifying one or more potential page breaks further comprises the steps of:

computing a measure of overlap for each stroke with a previous stroke; and

for N consecutive strokes with a total measure of overlap which is not less than a threshold value, identifying a potential page break before these N consecutive strokes.

15. The method of claim 1, wherein the step of automatically identifying one or more potential page breaks further comprises the steps of:

computing a moving average of spatial positions of strokes, made in accordance with the handwriting system, on a page using a predetermined window width, the computation of the moving average resulting in a spatial position moving average curve;

computing a moving average of a slope associated with the spatial position moving average curve, the computation of the moving average resulting in a slope moving average curve; and

identifying one or more negative slopes in the slope moving average curve as potential page breaks.

16. The method of claim 15, wherein negative slopes are identified as potential page breaks based on peak-heights.

17. The method of claim 1, wherein the step of automatically identifying one or more potential page breaks further comprises the steps of:

computing a moving average of temporal positions of strokes, made in accordance with the handwriting system, on a page using a predetermined window width, the computation of the moving average resulting in a temporal position moving average curve;

computing a moving average of a slope associated with the temporal position moving average curve, the computation of the moving average resulting in a slope moving average curve; and

identifying one or more positive slopes in the slope moving average curve as potential page breaks.

18. The method of claim 16, wherein positive slopes are identified as potential page breaks based on peak-heights.

19. The method of claim 1, wherein the step of automatically identifying one or more potential page breaks further comprises the steps of utilizing a learning algorithm.

potential page breaks for possible insertion in the electronic document to maintain a page correspondence between the electronic document and a physical document also generated in accordance with the handwriting system; and

a memory, coupled to the at least one processor, which stores the electronic ink data associated with the electronic document.

25. An article of manufacture for processing an electronic document generated in accordance with a handwriting system, comprising a machine readable medium containing one or more programs which when executed implement the steps of:

obtaining electronic ink data from the handwriting system, the ink data being associated with the electronic document; and

automatically identifying, using at least a portion of the electronic ink data, one or more potential page breaks for possible insertion in the electronic document to maintain a page correspondence between the electronic document and a physical document also generated in accordance with the handwriting system.

METHODS AND APPARATUS FOR AUTOMATIC PAGE BREAK DETECTION

Abstract of the Disclosure

In one aspect of the present invention, page breaks are identified in the following manner. A set of ink data and a document description are processed by a variety of scoring methods, each of which generates a score for each possible insertion point in the ink. These scores are combined to produce a ranked list of hypothesized page breaks for the corresponding ink data. This ranked list is then used either to insert page breaks automatically using a predefined threshold to determine a cut-off in the list; or to present, on-line, to a human for verification/approval; or a mixture of the two based on two thresholds: one for automatic insertion and the other for human verification. It is to be understood not all scoring methods need be used, that is, one or more of the scoring methods may be used as needed.

1500-99.APP

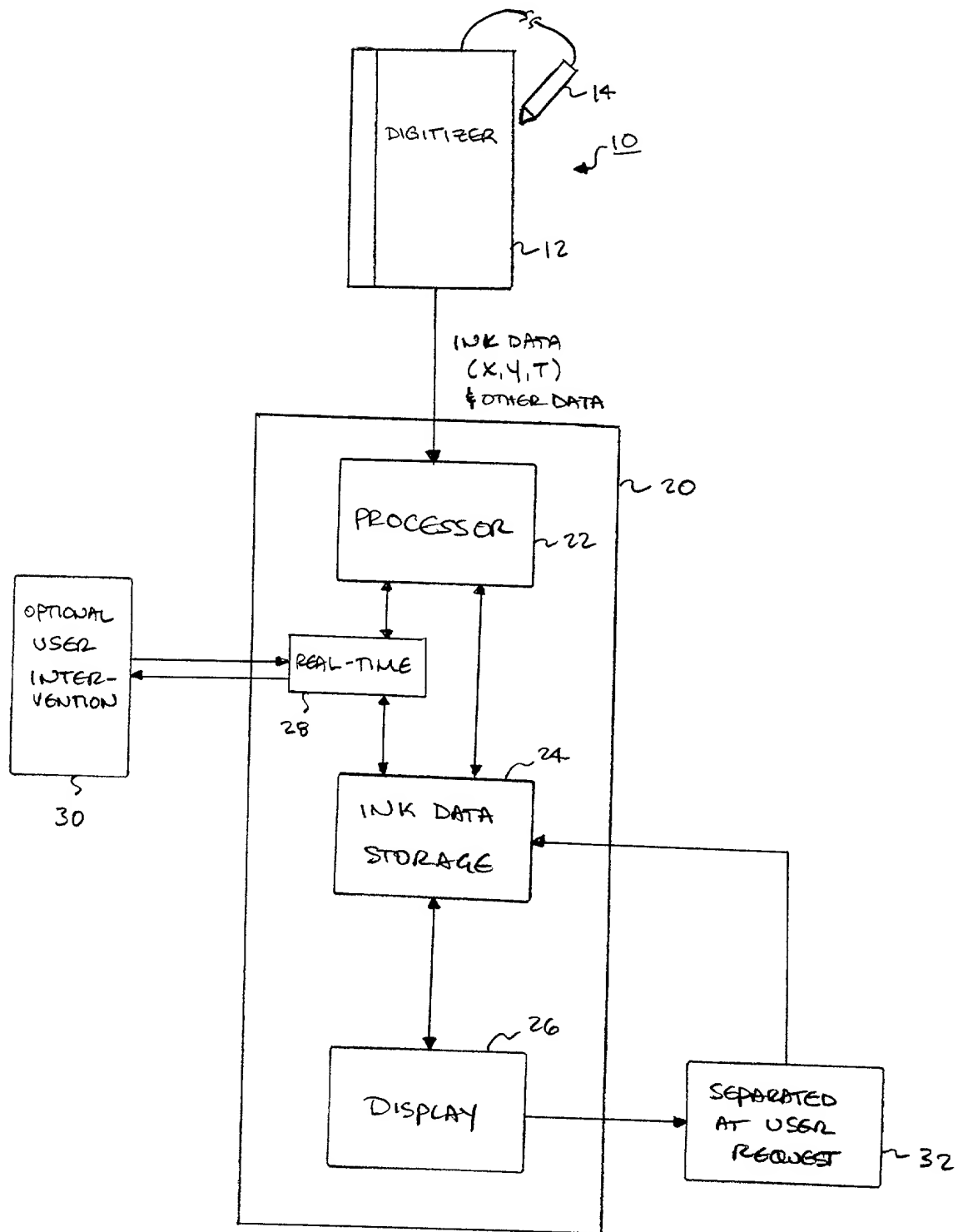


FIG. 1

40 ~

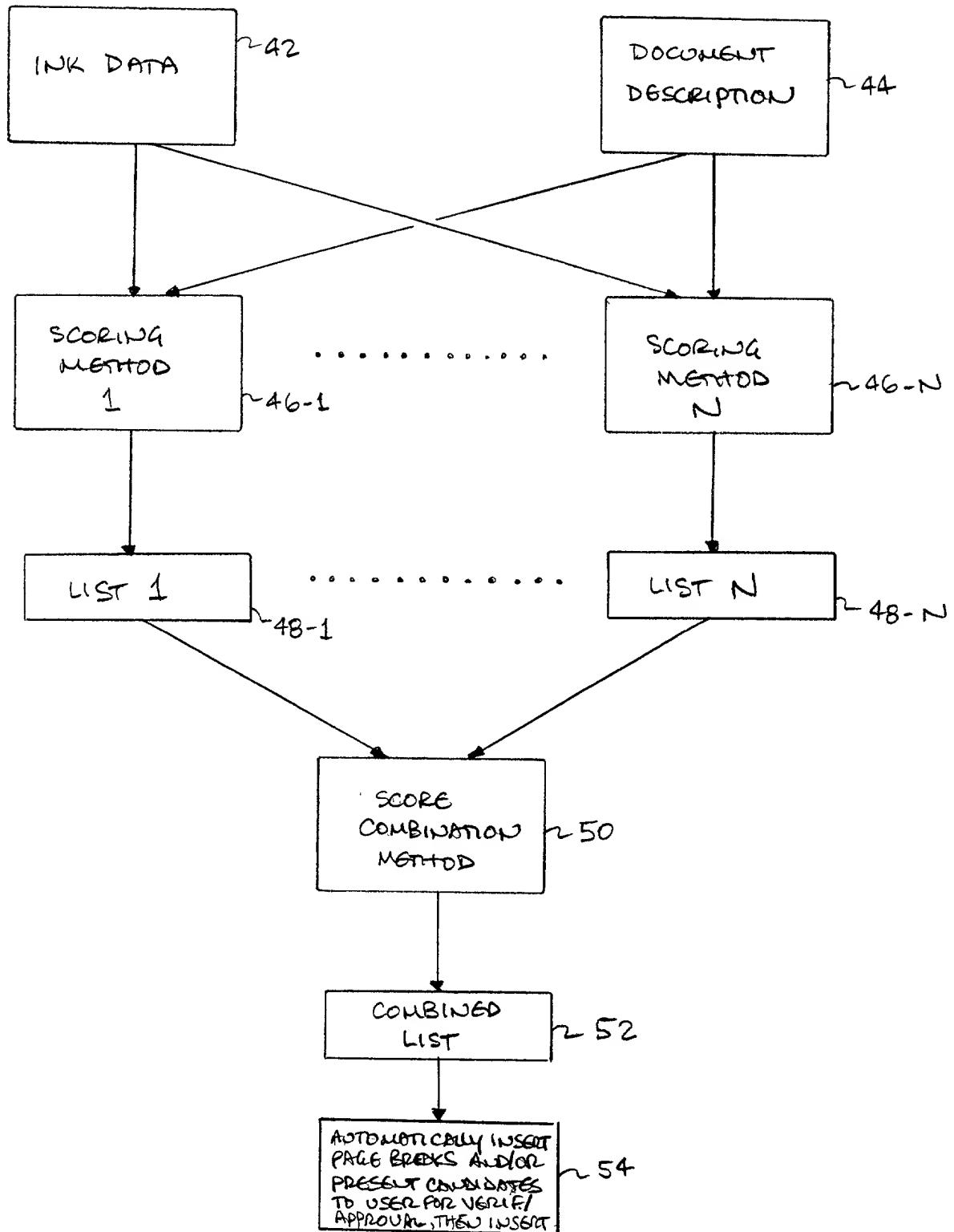


FIG. 2

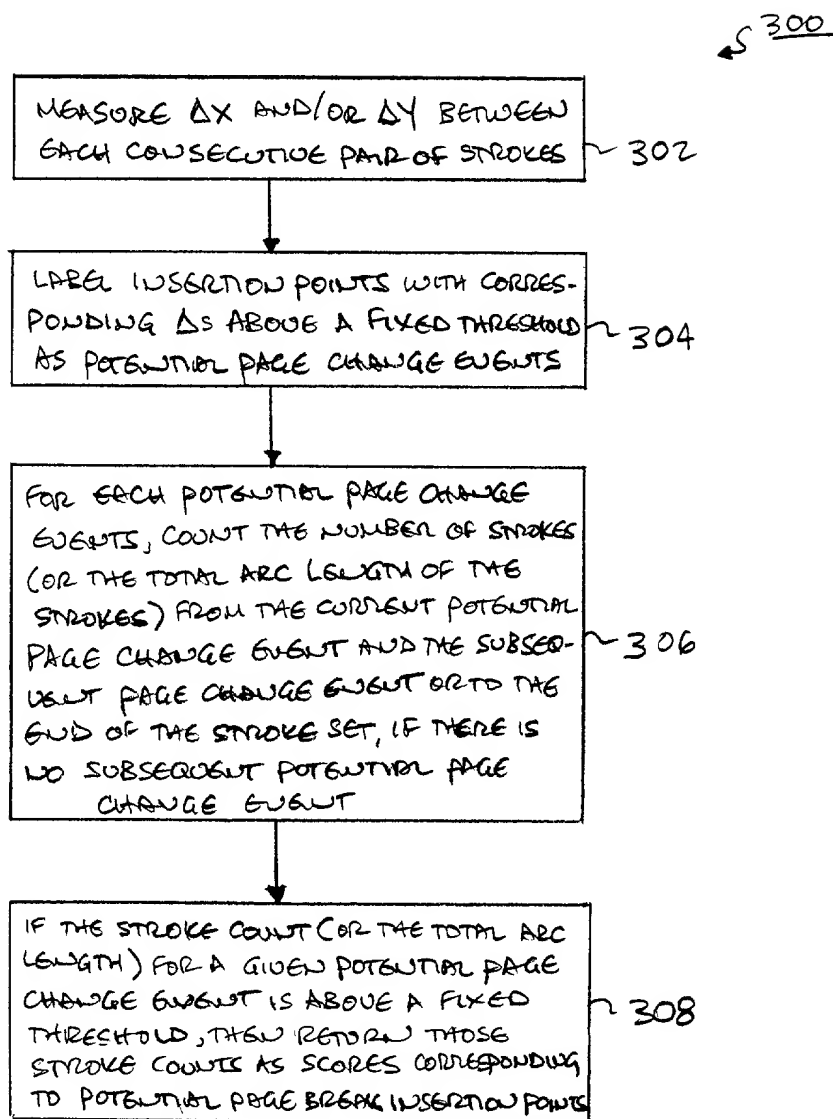


FIG. 3

400

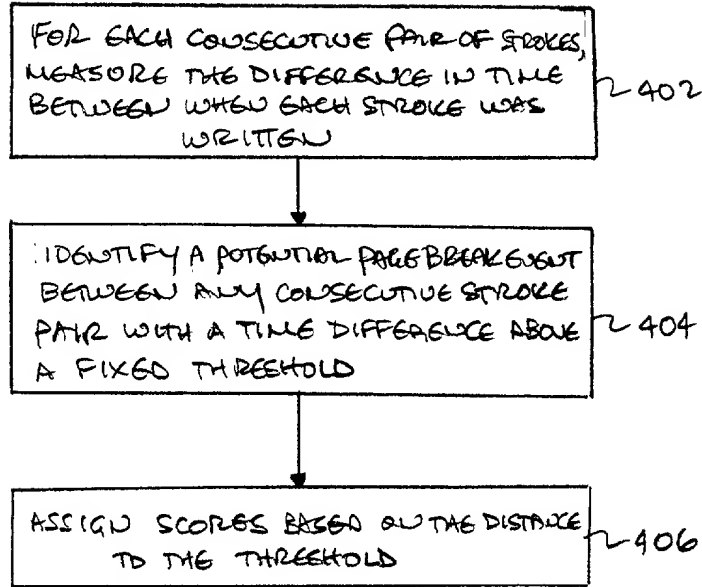


FIG. 4

500

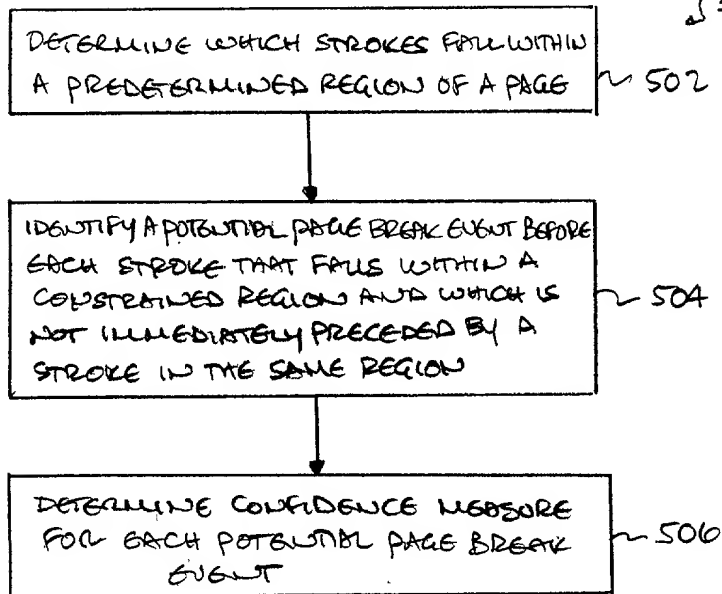


FIG. 5

5/11

YOR9-2000-0048

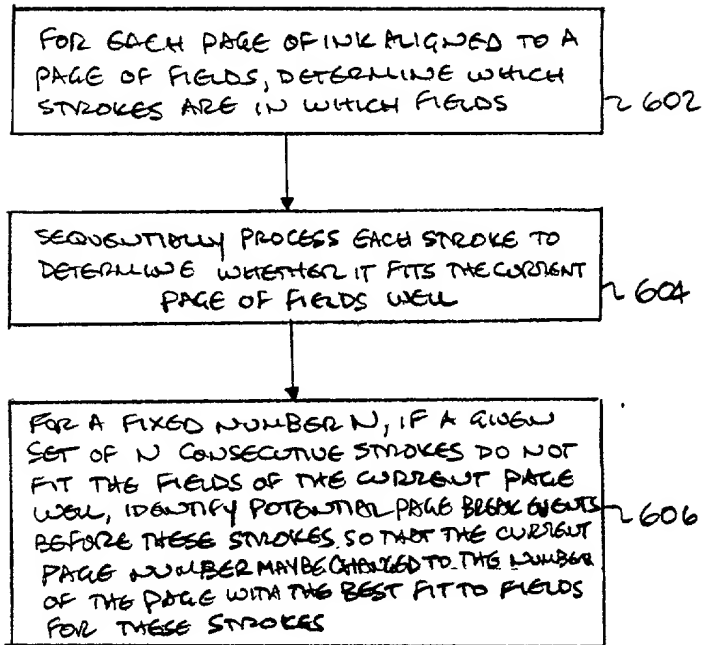


FIG. 6

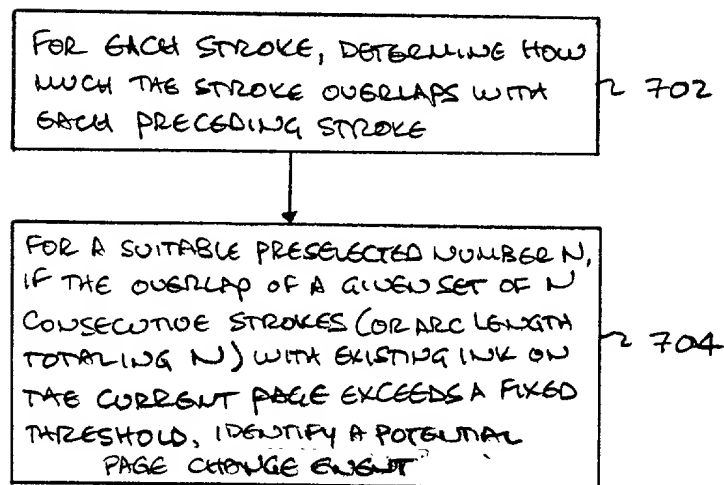


FIG. 7

FIG. 8A

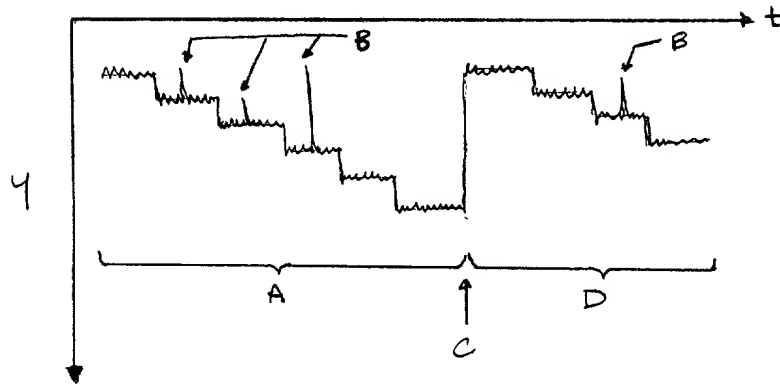


FIG. 8B

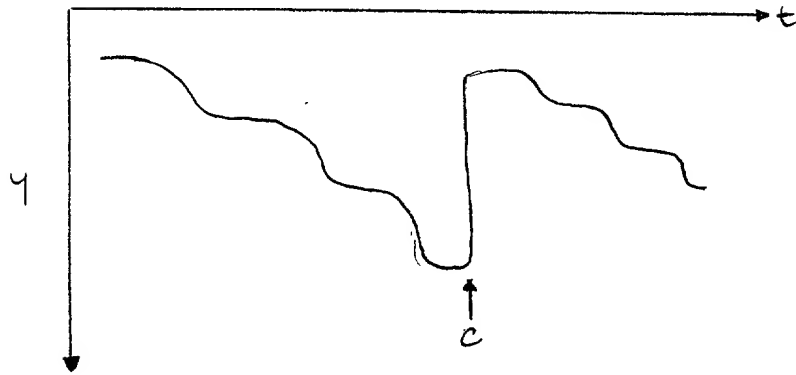
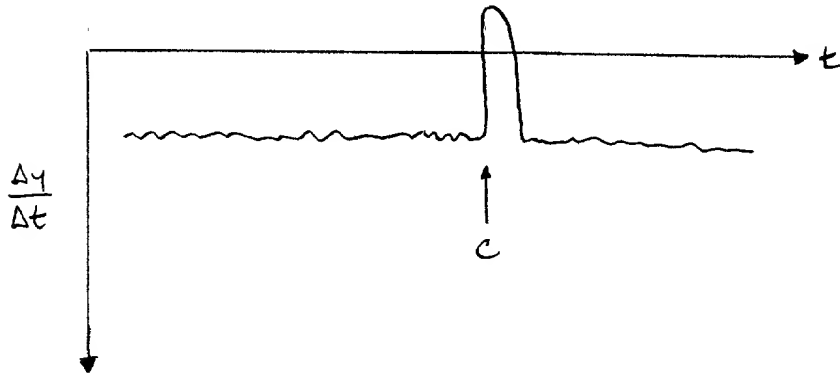


FIG. 8C



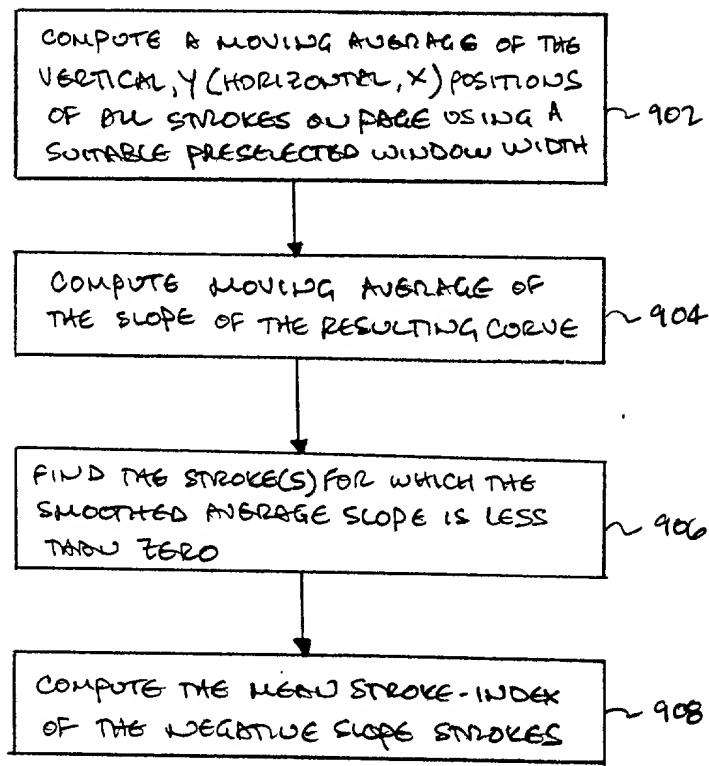


FIG. 9A

FIG. 9B

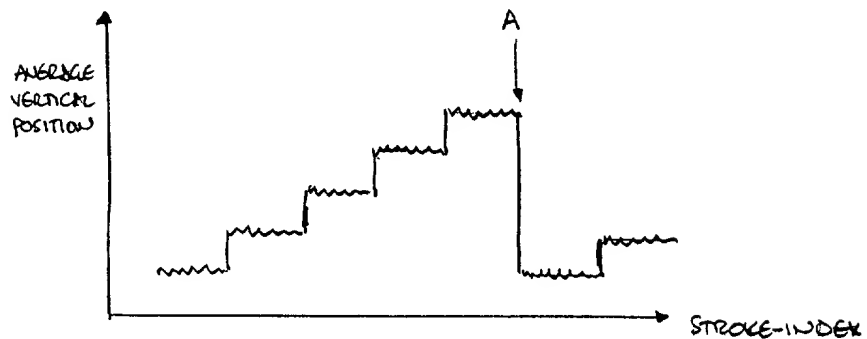
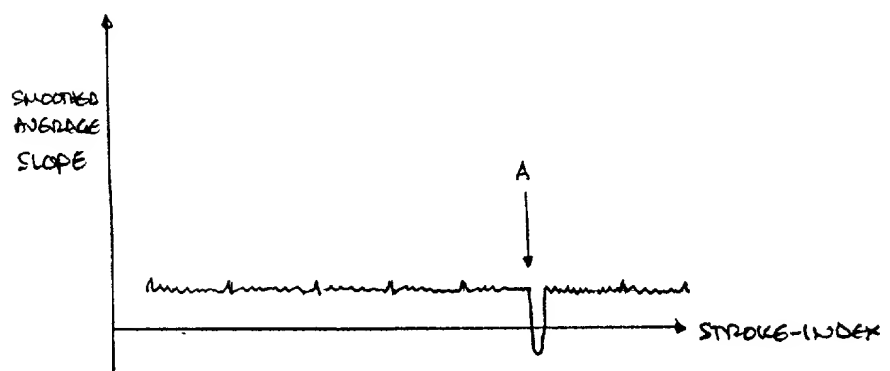


FIG. 9C



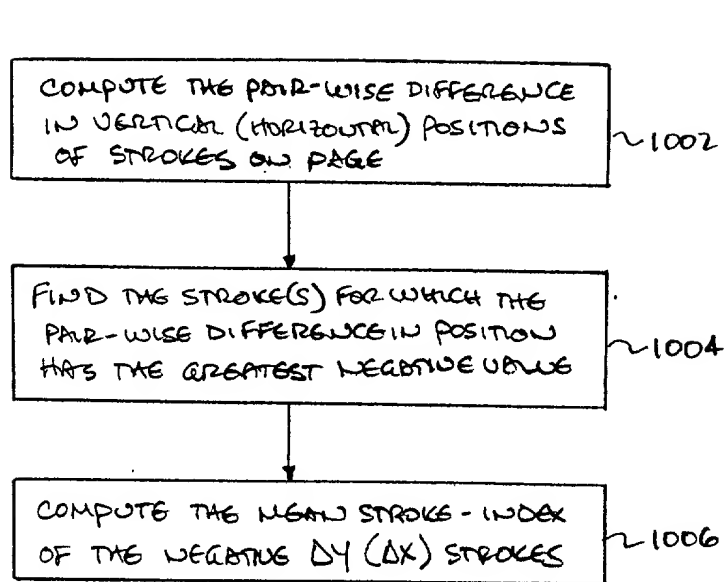
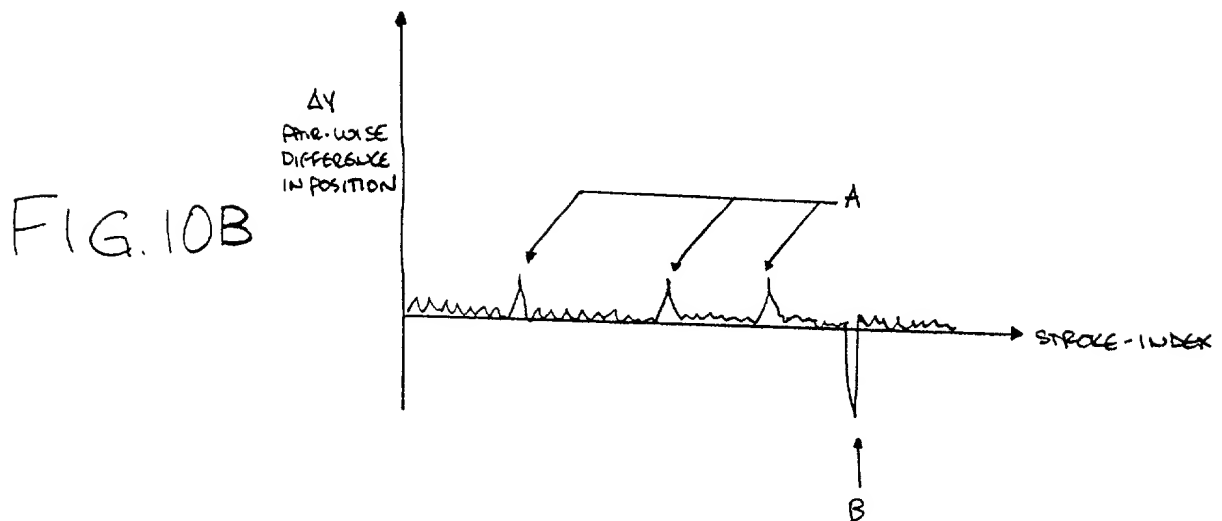


FIG. 10A



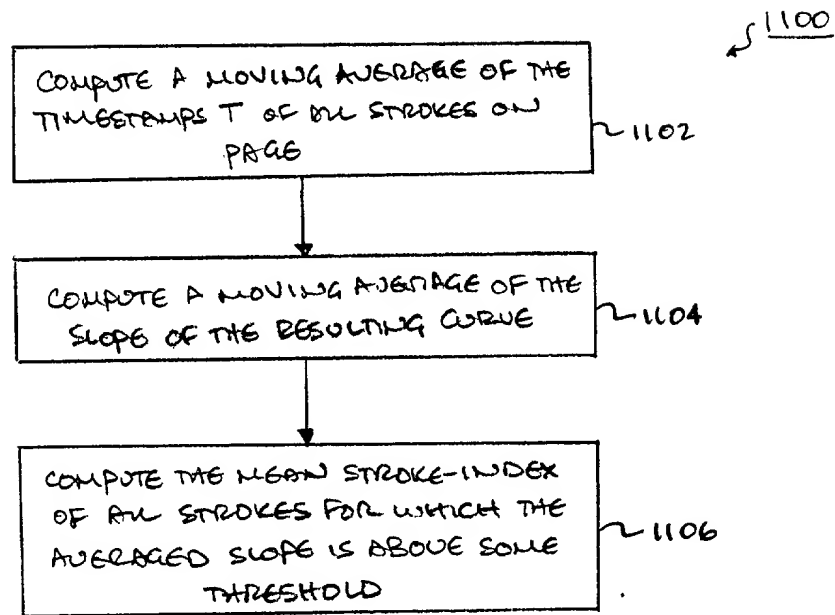


FIG. 11A

FIG. 11B

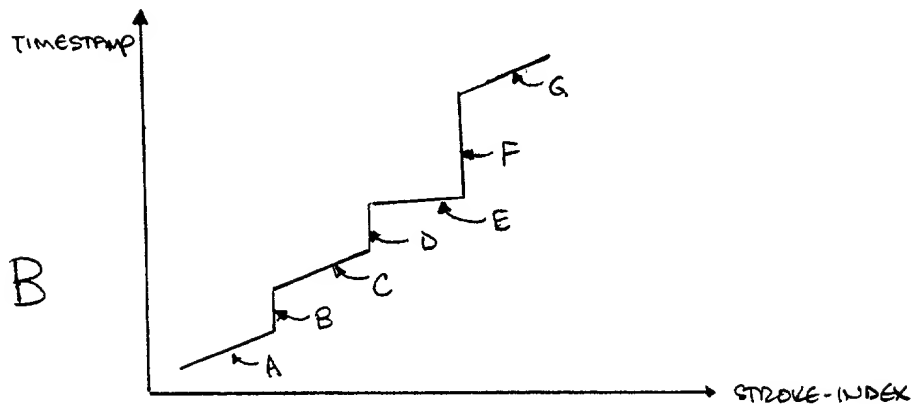
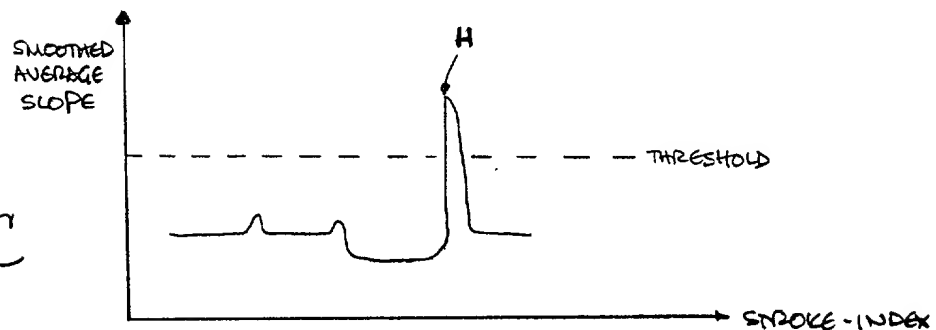


FIG. 11C



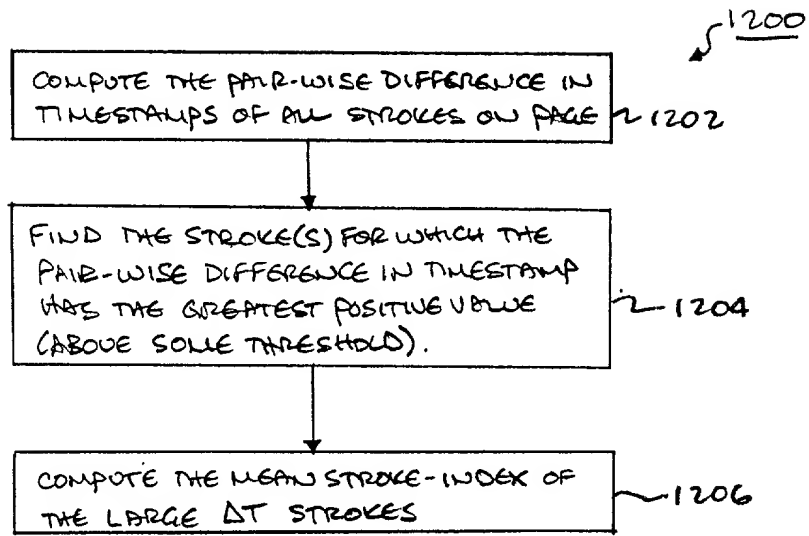
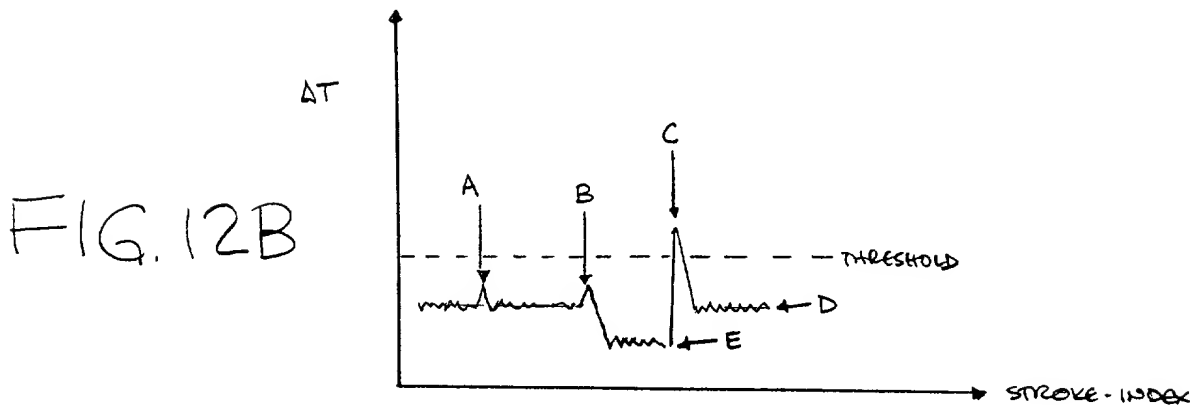


FIG. 12A



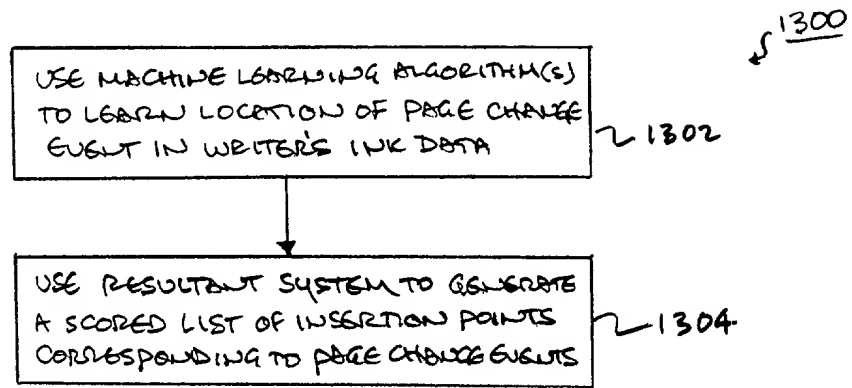


FIG. 13

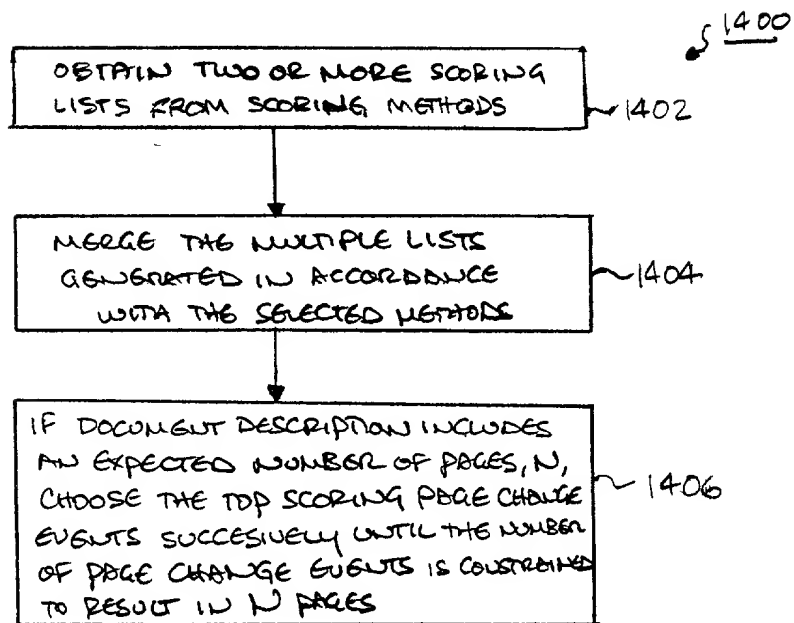


FIG. 14

DECLARATION

AS A BELOW NAMED INVENTOR, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name.

I believe that I am the original, first and sole (*if only one name is listed below*), or an original, first and joint inventor (*if plural names are listed below*), of the subject matter which is claimed and for which a patent is sought on the invention entitled:

TITLE: METHODS AND APPARATUS FOR AUTOMATIC PAGE BREAK DETECTION

the specification of which is attached hereto or indicates an attorney docket no. YOR9-2000-0048, or:

☐ was filed in the U.S. Patent & Trademark Office on _____ and assigned Serial No. _____,

☐ and (*if applicable*) was amended on _____.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability and to the examination of this application in accordance with Title 37, Code of Federal Regulations §1.56. I hereby claim foreign priority benefits under Title 35, U.S. Code §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT international application which designated at least one country other than the United States, or §119(e) of any United States provisional application(s), listed below and have also identified below any foreign applications for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

<u>60/496,808</u>	<u>U.S.A.</u>	<u>April 13, 2000</u>	Priority Claimed:
(Application Number)	(Country)	(Day/Month/Year filed)	Yes [X] No []
_____	_____	_____	Yes [] No []
(Application Number)	(Country)	(Day/Month/Year filed)	

I hereby claim the benefit under Title 35, U.S. Code §120, of any United States application(s), or §365(c), of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International applications(s) in the manner provided by the first paragraph of Title 35, U.S. Code §112, I acknowledge the duty to disclose information material to patentability as defined in Title 37, Code of Federal Regulations §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<u>_____</u>	<u>_____</u>	<u>_____</u>
(Application Serial Number)	(Filing Date)	(STATUS: patented, pending, abandoned)
<u>_____</u>	<u>_____</u>	<u>_____</u>
(Application Serial Number)	(Filing Date)	(STATUS: patented, pending, abandoned)

I hereby appoint the following attorneys: **MANNY W. SCHECTER**, Reg. No. 31,722; **LAUREN C. BRUZZONE**, Reg. No. 35,082; **CHRISTOPHER A. HUGHES**, Reg. No. 26,914; **EDWARD A. PENNINGTON**, Reg. No. 32,588; **JOHN E. HOEL**, Reg. No. 26,279; **JOSEPH C. REDMOND, Jr.**, Reg. No. 18,753; **DOUGLAS W. CAMERON**, Reg. No. 31,596; **STEPHEN C. KAUFMAN**, Reg. No. 29,551; **JAY P. SBROLLINI**, Reg. No. 36,266; **WAYNE L. ELLENBOGEN**, Reg. No. 43,602; **ROBERT M. TREPP**, Reg. No. 25,933; **LOUIS P. HERZBERG**, Reg. No. 41,500; **LOUIS J. PERCELLO**, Reg. No. 33,206; **PAUL J. OTTERSTEDT**, Reg. No. 37,411; **DANIEL P. MORRIS**, Reg. No. 32,053; and **DAVID M. SHOFI**, Reg. No. 39,835; each of them of **INTERNATIONAL BUSINESS MACHINES CORPORATION**, Thomas J. Watson Research Center, P.O. Box 218, Yorktown Heights, New York 10598; to prosecute this application and to transact all business in the U.S. Patent and Trademark Office connected therewith and with any divisional, continuation, continuation-in-part, reissue or re-examination application, with full power of appointment and with full power to substitute an associate attorney or agent, and to receive all patents which may issue thereon, and request that all correspondence be addressed to:

William E. Lewis
 RYAN & MASON, L.L.P.
 90 Forest Avenue
 Locust Valley, NY 11560
 Tel.: (516) 759-2946

I HEREBY DECLARE that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 U.S. Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST OR SOLE INVENTOR: Paul Turquand Keyser Citizenship U.S.A.

Inventor's signature: *Paul Turquand Keyser* Date: 2000 July 24
 Residence & Post Office address: 38 Britton Lane, Apt. 3
Mount Kisco, New York 10549

FULL NAME OF SECOND JOINT INVENTOR: Michael Peter Perrone Citizenship U.S.A.

Inventor's signature: *Michael Perrone* Date: JULY 20, 2000
 Residence & Post Office address: 17 Devonshire Drive
Yorktown, New York 10598

FULL NAME OF THIRD JOINT INVENTOR: Eugene H. Ratzlaff Citizenship U.S.A.

Inventor's signature: *Eugene H. Ratzlaff* Date: July 20, 2000
 Residence & Post Office address: 20 Sebastian Court
Hopewell Junction, New York 12533

FULL NAME OF FOURTH JOINT INVENTOR: Jayashree Subrahmonia Citizenship India

Inventor's signature: *Jayashree* Date: July 20, 2000
 Residence & Post Office address: 501 Woodland Hills
White Plains, New York 10603